

Department Series Report

90: Independent Agencies - Regulatory

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
590#:Maine Health Data Organization						
Schedule #: 1641 1#:Ambulatory Services Source Data						
The Maine Health Data Organization was authorized by Title 22, Chapter 1683 to collect insurance forms directly from Maine Ambulatory Surgery Facilities and Physician Offices, within its data collection program. Ambulatory Service data consist of health care services performed at a physician's office or any non-hospital facility, to be used to compare costs and for market research studies. For example, a research company hired by a mobile x-ray unit in Maine conducted a study to compare costs of cat scans performed by all the portable x-ray units in Maine. The data is now being submitted directly from insurers, within our Claims database. Data elements may include: town codes, age, diagnosis, procedures, etc.	Paper	9/30/2005	0	0	Destroy	Current
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Schedule #: 1641 2#:Clinical Source Data						
The Maine Health Data Organization has a clinical data program in which it collects Inpatient, Outpatient, Emergency Room, and Claims Data from Maine hospitals and insurance companies. Once received, the data is copied onto the computer, edited, and converted into a usable format. Maine hospitals, State agencies, Researchers, Universities, etc. purchase this data to use to compare costs and to analyze health care trends. The data is often used to justify adding new services for patients. National studies are also done which compare hospitals within all 50 states. Requested data elements may include: town codes, age, diagnosis, treatment, length of stay, amounts paid, etc.	CD	9/30/2005	Years 2	0	Destroy	Current
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Schedule #: 1641 3#:Financial and Clinical Health Care Data Requests						
The Maine Health Data Organization receives requests from Hospitals, State agencies, Researchers and Universities to purchase Hospital Inpatient, Outpatient, and Emergency Room data; Ambulatory Services Data, Health Care Claims Data; and Hospital Financial Data. Hospital data is used to justify adding new services for patients, to analyze trends, and to compare hospital costs and care in the state and nationwide. Data is also used to establish which patients hospitals are servicing. Requested data elements may include: town codes, age, diagnosis, treatment, length of stay, amounts paid, etc. The financial data is used to compare costs and to better understand hospital spending. The files contain the original requests, data request summary forms, and signed confidentiality statements, if applicable.	Paper	9/30/2005	Years 3	0	Destroy	Current
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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Schedule #: 1641 4#:Hospital Financial Data The Maine Health Data Organization collects hospital financial data directly from Maine hospitals. The hospital financial data consists of Hospital Audited Financial Statements, Medicaid Audit Settlements, and Medicare Cost Reports. Information from this data is purchased by State agencies, Researchers, etc. The data is often used to compare hospital costs and to better understand hospital spending on a state, regional, and national level.	Paper	9/30/2005	Years 5	Years 7	Destroy	Current
Schedule #: 1641 5#:Health Care Provider and Insurer Assessments The Maine Health Data Organization has an assessment program in which hospitals, other health care providers, and health insurers pay an annual fee to support the Maine Health Data Organization. The Maine Bureau of Insurance annually sends in each insurance company's total dollar amounts of what the company paid out for insurance for Maine residents. This agency then sends those insurance companies a form for excluding certain types of insurance. Once these forms are returned, agency staff uses the adjusted figures to calculate what each insurance company is required to pay for an annual fee.	Paper	9/30/2005	Years 7	0	Destroy	Current
77#:State Board of Education						
Schedule #: 908 2#:State Board of Education Minutes Detailed minutes of each official state board meeting from 1949 to present.	Paper	12/1/2000	Years 6	No Retention	0 Archives	Current
Schedule #: 908 3#:State Board of Education Exhibits All exhibits used in each of the State Board of Education meetings. A State board exhibit is any material brought before the Board for their approval. The material may be informational only in support of a recommendation or may be the actual material the Board will take formal action on. These materials include items such as plans, drawings, required permits, funding proposals, etc.	Paper	12/1/2000	Years 2	No Retention	0 Archives	Current
Schedule #: 1375 70:Recognition Awards - State Board of Education						

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The Maine State Board of Education will honor several school districts who have proven that they are worthy through an application process. These awards are presented to a winner at a formal Board meeting. Award programs include: Making the Grade Award (given to 6-7 winners each school year); James C. MacCampbell Award for Exemplary Libraries (given to a library each year). Materials include: correspondence, applications, booklets about program, and other supporting materials.	Paper	12/1/2000	Variable - See Description	3	Variable - See Description	2 Destroy Current
Schedule #: 1376 4:George M. Briggs Award						
The Maine State Board of Education will honor a vocational center for program with by presenting them with money from the George M. Briggs Award. This active Trust Fund was originally established in 1948 and the interest from the trust fund is awarded was awarded to a winner each school year. Material includes correspondence, trust fund statements, and other supporting materials.	Paper	12/1/2000	Years	3	Years 2	Destroy Current
Schedule #: 1383 1:State Board of Education Committees						
The Maine State Board of Education is frequently given an assignment from the Legislature to study an area of concern and bring information back to the Legislature, i.e. final report containing data and recommendations. The supporting material for the final report is used for informational purposes. Materials can be minutes, booklets, correspondence, data on members of the committee, supporting materials involving the conclusions for the final recommendations, a master report to be used for production of additional reports to be distributed, and pilot project test information. Several of these committees are long-term studies and can take as long as 5-10 years to complete and implement the recommendations.	Paper	12/1/2000	Years	2	Years 0	Archives Current
668#:State Charter School Commission						
Schedule #: 2087 1:District Invoicing						
Copies of invoices and checks from the school district to the Maine Charter School Commission for student enrollment.	Paper	10/25/2017	Years	7	No Retention	0 Destroy Current
Schedule #: 2088 2:Charter School Monitoring Reports						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Contains relevant background information as required by law for review and compliance purposes by Charter School staff and the public. Files include: Annual Monitoring reports; Year 4 Performance reports; Preopening reports; and 90 day visit reports.	Digital File	4/12/2018	Years 10	No Retention 0	Destroy	Current
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Schedule #: 2089 3:Annual Report to the Education Commissioner/Legislature						
Charter School Commission must submit to the Maine Department of Education Commissioner/Legislature an annual report within 90 days of the end of each fiscal year. The report includes strategic vision, performance, status of Charter School portfolio and budget. A digital copy will be sent to the Maine State Library to comply with Title 1, Chapter 13, Section 501-A.	Digital File	10/25/2017	Years 7	No Retention 0	Archives	Current
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Schedule #: 2090 4:Charter School Contracts and Amendments						
Original contracts; renewals; amendments and contracts for services performed by non-state agencies. Keep until school closes plus 10 years. Digital files will be kept by the commission for 10 years.	Digital File	4/30/2018	Contingent Upon Event - See Description	0 No Retention 0	Destroy	Current
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Schedule #: 2091 10:Charter School Brick & Mortar and Virtual Schools - First Two Charter Schools						
The first two Charter Schools in the State of Maine will be retained permanently as "samples" for historical value. Records include: Completed applications for Cornville Regional Charter School and the Maine Academy of Natural Sciences. Records will be kept until school closes plus 5 years and then transferred to the Maine State Archives.	Paper	10/25/2017	Contingent Upon Event - See Description	0 No Retention 0	Archives	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status		
Digital records will be kept in agency until school closes plus 10 years then destroyed.	Digital File	10/27/2017	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
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Schedule #: 2091	11:Charter School Brick & Mortar and Virtual Schools - 5 Year Material							
The 5 Year Materials included in this series are documents that are required both annually and as needed. Throughout the authorization process, Charter schools are required to present this information upon request. Examples of documents in this series include: Certificate of Occupancy; Fire Inspection; Sprinkler inspection; Emergency evacuation plan; Pre-opening plan/checklist; Copies of insurance; Other building inspection reports; Governing board member attendance; Financials; Governing board member information; Assessment information; Record of complaints; Transportation plan; Food service plan; Facilities and maintenance plan; Test scores; Support letters; Lau plan; Correspondence; Handbooks/policy/procedure manual; Special Ed service grid; School inventory; Self assessment; Report on social/academic climate/academic discipline; Parent and community engagement; Summary report; Enrollment data; and Media	Digital File	4/30/2018	Years	5	No Retention	0	Destroy	Current
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Schedule #: 2091	5:Charter School Brick & Mortar and Virtual Schools - RFPs							
The RFP (Request for Proposal) is intended to solicit, encourage and guide the development of high-quality public school applications throughout the State of Maine. Retained are the Applicant's responses to the Legal Ads posted in the newspaper.	Digital File	10/25/2017	Contingent Upon Event - See Description	0	No Retention	0	Destroy	Current
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Schedule #: 2091	6:Charter School Brick & Mortar and Virtual Schools - Intent to Apply							
In response the RFP, all applicants must submit an "Intent to Apply" by a certain deadline. An applicant who submits an Intent to Apply form is not required to submit a formal application if they choose not to continue. However, an applicant cannot submit an application without having submitted an "Intent to Apply."	Digital File	10/25/2017	Years	10	No Retention	0	Destroy	Current
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Schedule #: 2091	7:Charter School Brick & Mortar and Virtual Schools - Approved Applications							

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
An approved Application must include the following documents: Education Plan; Organizational and Operational Plan; Governance; Business and Financial Services; Education Service Providers; Closure Protocols; Rubrics; Completeness Letter; and Review Team Interview.	Digital File	5/14/2018	Years 10	No Retention 0	Destroy	Current
Schedule #: 2091 8:Charter School Brick & Mortar and Virtual Schools - Withdrawn Applications						
Once an application is submitted to the Charter School Commission for review, an applicant can voluntarily withdraw their application by notifying the Commission in writing of their intent to withdraw.	Digital File	10/25/2017	Years 10	No Retention 0	Destroy	Current
Schedule #: 2091 9:Charter School Brick & Mortar and Virtual Schools - Denied Applications						
No later than 90 days after the deadline set by the Authorizer (Charter Commission) for the filing of applications, an Authorizer shall render a decision on each application. The authorizer shall make and announce all Charter Commission decisions in a meeting open to the public. If the Authorizer denies an application, the Authorizer shall clearly state, for public record, its reason for denial.	Digital File	10/25/2017	Years 10	No Retention 0	Destroy	Current
351#:Workers Compensation Board						
Schedule #: 136 2#:First Report of Accident						
Report sent to commission for job related accident but no lost work time. Retention counted close of case.	Paper	9/26/1975	Years 2	No Retention 0	Destroy	Current
Schedule #: 136 3#:Completed Claim						
First report plus other reports and correspondence where settlement is finalized by a lump sum settlement. Retention counted from close of case.Claims with dates of injury prior to 10-17-91	Paper	9/28/1990	Years 10		Destroy	Current
First report plus other reports and correspondence where settlement is finalized by a lump sum settlement. Retention counted from close of case.Claims with dates of injury on or after 10-17-91	Paper	9/28/1990	Years 6		Destroy	Current
Schedule #: 136 4#:Long Term Claim						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
First report plus other reports and correspondence where time is lost from work. Claims with dates of injury prior to 10-17-91	Paper	9/26/1975	Years	10	Destroy	Current
First report plus other reports and correspondence where time is lost from work. Claims with dates of injury on or after 10-17-91	Paper	9/26/1975	Years	6	Destroy	Current
Schedule #: 356 5A:1 AWC Cards (Insurance Coverage)						
Insurance coverage information	Paper	9/10/1993	Years	5	Years	Destroy Current
Schedule #: 356 5B:1 AWC Cards (Insurance Coverage for Self-Insured Employers - Bonds)						
Insurance coverage information	Paper	9/10/1993	Years	5	5	Destroy Current
Schedule #: 370 6#:Appellate Division - Records on Appeal						
Appellate Division records on appeal and briefs filed by the parties.	Paper	8/9/1985	Years	1	Years	9 Destroy Current
Schedule #: 527 7#:Case Files - Unit of Abuse Investigation						
First Report of Abuse Complaint, Investigators Case Activity Sheet, Statement of Accused or suspected person, Disposition Summary Form, Complaint Log, and related correspondence and monthly statistical form. Upon receipt of a verified complaint, a case file is established & the complaint is investigated. Complaints refer to specific insurers.	Paper	8/8/1986	Years	1	Years	9 Destroy Current
Schedule #: 527 8#:Correspondence - Unit of Abuse Investigation						
Letters of complaint against specific insurers.Retention runs from date of abuse unit decision.	Paper	8/8/1986	Years	2	Years	3 Destroy Current
Schedule #: 880 9#:Inactive Purge Claims						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
SS# reference to claims which have been taken off the computer system. Name X reference and complete listing of purge claim. Keep in agency 10 years after last payment.	Computer Output Microfilm	10/19/1990 Years	10	No Retention	0 Destroy	Current
SS# reference to claims which have been taken off the computer system. Name X reference and complete listing of purge claim. Keep in agency 10 years after last payment.	Magnetic Tape	10/19/1990 Years	10	No Retention	0 Destroy	Current
SS# reference to claims which have been taken off the computer system. Name X reference and complete listing of purge claim. Keep in agency 10 years after last payment.	Computer Printout	10/19/1990 Years	10	No Retention	0 Destroy	Current
Schedule #: 896 10#:Vocational Rehabilitation Files (WCC)						
The agency monitors, regulates and adjudicates rehabilitation providers. File includes: medical reports, narrative rehabilitation reports, job descriptions and bills for services.	Digital File	3/3/2020 Years	6	No Retention	0 Destroy	Current
Schedule #: 983 11#:Employer Index Cards						
Used to record first report of injury and to locate workers' compensation file. Destroy after filming and verifying.	Paper	4/28/1992 Destroy After Conversion to Another Medium	0	No Retention	0 Destroy	Current
Schedule #: 983 11A:Employer Index Cards						
Used to record first report of injury and to locate workers' compensation file. Keep in agency until 10 years after last payment.	Roll Microfilm	4/28/1992 Years	10	No Retention	0 Destroy	Current
Schedule #: 983 11B:Employer Index Cards-Microfilm Backup						
Used to record first report of injury and to locate workers' compensation file. This is the back-up film to Series 11A.	Roll Microfilm	4/28/1992 Years	0	Years	75 Destroy	Current
Schedule #: 1165 12#:Law Court Cases (Workers' Compensation)						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Any Workers' Compensation case in which a decision/order is appealed to a Law Court. Hearing Officer's/Board's decision/order which is appealed, request to file appeal; Petition for Appellate Review; Response to Petition; Law Court order denying/granting review; Appellant's Brief; Law Court decision; and related correspondence. Keep in agency until closed plus 1 year.	Paper	6/2/1995	Years 1	Years 6	Destroy	Current
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Schedule #: 1346 13#:Worker Advocate Files						
The Legislature has established Worker Advocate Offices throughout the state to defend workers compensation victims as insurers are routinely turning down victims. Worker Advocate files include: medical file, pleadings and related correspondence. Retention begins after case is closed.	Paper	6/14/2016	No Retention 0	Years 10	Destroy	Current
Worker Advocate Files consist of 2 parts: 1) a paper litigation file, and 2) an electronic case file in the Board's legal case management software.						
Paper includes the litigation file containing pleadings, medical records and correspondence.						
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Electronic consists of PII for clients, emails, case notes, a list of parties linked to the case, and an electronic "tickler" calendar.	Digital File	6/14/2016	Years 10	No Retention 0	Destroy	Current
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Schedule #: 1714 20#:Proof of Coverage Forms						
Proof of Coverage Forms are submitted by insurance companies to document proof of workers compensation insurance coverage. All employers with employees in the State of Maine are required by law to either have workers' compensation insurance or file with the Bureau of Insurance proof of self insurance. These forms are effective for a period of one year and are kept on file for the effective policy year. This information is kept on the workers' compensation board data base.	Paper	1/19/2007	Years 50	0	Destroy	Current
The Workers' Compensation Board keeps this record in case questions arise for a policy period. They are also used by the Monitoring, Audit and Enforcement Unit to establish if a fine should be issued for late coverage.						
Proof of coverage forms are batch filed by the week so a typical file would contain all forms received for the week.						
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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Proof of Coverage Forms are submitted by insurance companies to document proof of workers compensation insurance coverage. All employers with employees in the State of Maine are required by law to either have workers' compensation insurance or file with the Bureau of Insurance proof of self insurance. These forms are effective for a period of one year and are kept on file for the effective policy year. This information is kept on the workers' compensation board data base.</p> <p>The Workers' Compensation Board keeps this record in case questions arise for a policy period. They are also used by the Monitoring, Audit and Enforcement Unit to establish if a fine should be issued for late coverage.</p> <p>Proof of coverage forms are batch filed by the week so a typical file would contain all forms received for the week.</p>	Hard Disk	1/19/2007 Years	50	0	Destroy	Current

Schedule #: 1715 21#:Waivers (of benefits and provided by the workers compensation laws)

<p>Waivers are submitted to the Workers' Compensation Board by insurance companies, insurance agents and employers. A waiver establishes if a workers' compensation policy is needed based on a persons position in a company or relationship to the owner of a company. By law an individual can waive his/her the benefits and privileges provided by the workers' compensation laws if certain requirements are met.</p> <p>Copies of the waivers are kept in case a business, agent or insurance carrier needs proof of an approved waiver. The records are used by insurance coverage personnel, agents and insurance carriers as well as the Abuse Investigation Unit.</p> <p>A typical file contains an application filed by the person requesting the waiver and a copy of the approved waiver.</p>	Hard Disk	1/19/2007 Years	50	0	Destroy	Current
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Schedule #: 1716 22#:Predetermination of Independent Contractor Status

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Workers' Compensation Board law allows an employer to submit an application for predetermination of independent contractor status which when approved states that there is no employer employee relationship between the two parties. There are three types of applications. 1) A landowner or landowner's agent files a conclusive application which when approved established there is no employer/employee relationship between a landowner and the person harvesting wood on the landowner's property. 2) An applicant files a rebuttable application for a contractor performing a specific job. For example, a general contractor contracts with a painter to paint a house and 3) A wood harvester files for a certificate of independent contractor status. When approved the wood harvester can harvest wood on any landowner's property and not be considered an employee or require workers' compensation insurance. A landowner, wood harvester or individual hiring the independent contractor completes the application, it is signed by all parties and mailed to the Workers' Compensation Board for review. A decision is issued approving or denying the request and sent to both parties. The decision or approved predetermination is effective for up to one year. The approved request means that the applicant does not have to provide workers compensation insurance for the contractor. A typical file contains the original application and a copy of the approved or denied decision.	Paper	1/19/2007 Years	3	0	Destroy	Current
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Schedule #: 1718 23A:Compliance Reports (a bound report of activity by insurance entities on form filing)						
The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.	Paper	1/19/2007 Years	5	0	Destroy	Current
<p>The Monitoring Division creates compliance-related reports and manages the data quality and transfer of that information between the insurance community and the Workers' Compensation Board. The information is used by the Monitoring Division to compile quarterly and annual compliance reports that are issued to the Workers' Compensation Board, the Legislature, the insurance community and the public. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify "Questionable Claims Handling Practices" and "Willful Violations of the Act".</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>						
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<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.</p> <p>The Monitoring Division creates compliance-related reports and manages the data quality and transfer of that information between the insurance community and the Workers' Compensation Board. The information is used by the Monitoring Division to compile quarterly and annual compliance reports that are issued to the Workers' Compensation Board, the Legislature, the insurance community and the public. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify "Questionable Claims Handling Practices" and "Willful Violations of the Act".</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Hard Disk	1/19/2007	Years 5	0	Destroy	Current
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Schedule #: 1718 23B:Monitoring Files (three-part reconciliation report reflecting entity errors on form filings)						
<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.</p> <p>The Monitoring files consists of a three-part reconciliation report, which is a report reflecting what errors entities have made over any given quarter, such as missing information on forms that were filed with the Workers' Compensation Board. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify "Questionable Claims Handling Practices" and "Willful Violations of the Act".</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Paper	1/19/2007	Years 5	0	Destroy	Current

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<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Monitoring Division monitors the compliance of insurers, self-insureds, and third-party administrators (insurance community) with the Maine Workers' Compensation Act, Title 39-A M.R.S.A.</p> <p>The Monitoring files consists of a three-part reconciliation report, which is a report reflecting what errors entities have made over any given quarter, such as missing information on forms that were filed with the Workers' Compensation Board. The information is also used to file Complaints for Audit against insurers who display poor compliance and is also used as evidence in legal proceedings to identify “Questionable Claims Handling Practices” and “Willful Violations of the Act”.</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Hard Disk	1/19/2007 Years	5	0	Destroy	Current

Schedule #: 1719 24A:Audit Working Papers and Reports

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>The Legislature enacted P.L. 1997, Chapter 486 which created the Office of Monitoring, Audit and Enforcement. The Audit Division supports the Office of Monitoring, Audit and Enforcement by auditing the compliance of insurers, self-insureds, and third-party administrators with the Maine Workers' Compensation Act, Title 39 A M.R.S.A.</p> <p>The auditor conducts either a desk audit or an on-site audit. Audit working papers are defined by statute as “all documentary and other information acquired, prepared or maintained by the Workers' Compensation Board during the conduct of an audit or investigation, including all intra-agency and interagency communications relating to an audit or investigation and draft reports or any portion of a draft report.” A typical file contains the auditor's working papers and the final audit report including the underlying reconciled information (sample attached). The files are used to gather information regarding the audited entity's compliance with the Maine Workers' Compensation Act. During the course of an audit, the audit files are shared with the client.</p> <p>Once the audit is completed, the auditor prepares an audit report reflecting any statutory violations and penalties due. Per statute, the final audit report, including the underlying reconciled information, is not confidential.</p> <p>The Agency keeps these records to support future Workers' Compensation Board audits as well as market conduct exams conducted by the Bureau of Insurance on referral from the Workers' Compensation Board.</p>	Paper	1/19/2007	0	Years 3	Destroy	Current